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NAVIGATION AND VESSEL INSPECTION
CIRCULAR NO. 8-97

Subj: ISSUANCE OF INTERNATIONAL FORM REQUIRED BY THE STCW TO
VALIDATE MERCHANT MARINER LICENSES AND DOCUMENTS

1. PURPOSE. This circular publishes the Coast Guard’s policy for issuance of the international endorsements prescribed by the International Convention on Standards of Training, Certification and Watchkeeping of Seafarers (STCW). It includes provisions for endorsements issued under both the 1978 Convention (STCW-78) and the 1995 amendments (STCW-95).
2. DIRECTIVES AFFECTED. Navigation and Vessel Inspection Circular 8-95 is incorporated into this NVIC and is superseded.
3. BACKGROUND.
- a. The parties (governments) signing the STCW-78 convention agreed to mandatory standards for the training, qualification, and certification of mariners. The United States became a party on October 1, 1991 and had five years in which to implement the STCW. The domestic regulations governing the issuance of licenses, Title 46, Code of Federal Regulations (CFR), Part 10, had been revised in 1987 to correspond to the STCW. The Convention’s regulations require that an internationally recognized, standard form be used for certain mariner’s credentials. The Coast Guard began to issue that form in 1996.
- b. While STCW-78 was a dramatic, international attempt to improve maritime safety by improving the qualifications of mariners, experience revealed weaknesses. As a remedy, the parties revised the Convention in 1995 and introduced concepts that emphasize training and practical demonstrations of a mariner’s skills. Also, the revised convention introduced a new format for the STCW endorsement.
- c. A party may use the STCW form alone as proof of a mariner’s qualifications, or the party may continue issuing its existing credentials and attach to them the international form. In the latter case, the STCW form validates that the holder’s qualifications meet the

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provisions of the STCW. The Coast Guard selected this method and will continue to issue licenses and merchant mariner documents (MMD) on the forms familiar to U.S. mariners.

4. DISCUSSION

- a. The STCW applies only to mariners employed on vessels operating seaward of the boundary lines specified in Title 46, CFR, Part 7. Mariners on vessels that do not proceed seaward of the boundary lines are not required to have the STCW form. Under STCW-78, the following personnel are eligible for the international validation:

- (1) Masters and mates licensed for service on vessels on ocean or near-coastal routes, regardless of any tonnage limitation;
- (2) Operators of uninspected towing vessels with an ocean or near coastal route and operators of uninspected passenger vessels with a near coastal route;
- (3) Engineer officers licensed for service on vessels of 1000 horsepower (HP) (750 kW) or more;
- (4) Able seamen and some specially-qualified ordinary seamen on vessels of 500 or more gross tons;
- (5) A tankerman-PIC-DL and/or -LG, a tankerman-engineer-DL and/or -LG, and a tankerman-assistant-DL and/or -LG; and
- (6) Any rating qualified as lifeboatman.

The STCW-95 adds the following personnel to those listed above requiring validation as meeting the Convention:

- (7) Any rating forming part of a watch in a manned engine room or designated to perform duties in a periodically unmanned engine room of a vessel of with more than 750kW (1,000 horsepower); and
 - (8) Every person qualified to perform radio duties or serve as an at-sea maintainer on a ship required to participate in Global Maritime Distress and Safety System (GMDSS).
- b. The terms used in the STCW for some capacities differ from the terms used on the Coast Guard issued credentials (licenses and MMDs). The STCW-78 form uses the qualification terms from the Convention.
- c. The 1995 amendments require the use of terms shown on the Safe Manning Document. For U.S. vessels, the Certificate of Inspection serves as the Safe Manning Document. This allows forms issued under STCW-95 to use terms more familiar to U.S. mariners.

- d. Enclosure 2 contains the procedures for issuance of STCW forms under STCW-78. When a mariner qualifies for a form under the provisions of STCW-95, the procedures in enclosure 3 apply. STCW-95 became effective on February 1, 1997, and the United States has five years in which to fully implement all of the 1995 amendments.
- e. This paragraph applies to a mariner holding a credential on February 1, 1997, and who renews the credential between February 1, 1997 and January 31, 2002. If the mariner does not meet STCW-95 at renewal, he or she will be issued the renewed credential with a five-year period of validity. The accompanying STCW-78 form will be issued with an expiration date of January 31, 2002. Enclosure 1 contains information for qualifying for issuance of an STCW-95 form.

5. PROCEDURE.

- a. Mariners will be issued an STCW validation when they upgrade, increase the scope of, or renew an existing license, or are issued an original license.

- (1) If the mariner is getting a new license, new endorsement, or a renewal with full operating authority, the Coast Guard Regional Examination Center (REC) will issue an STCW form automatically without charge.

- (2) If the mariner is renewing a license for continuity only, the REC will not issue the validation until full operating authority is restored.

- b. A mariner may request an STCW form by

- (1) Visiting an REC and presenting his/her Coast Guard issued license and/or MMD. If workload permits, the STCW form may be issued the same day; or

- (2) Writing to the REC that issued the license or MMD. Enclosure (3) lists the mailing address of each REC and contains a Privacy Act statement. Include the following identifying information:

- Full name as it appears on the license or MMD;
 - Social security number;
 - Return address; and
 - Copies of both sides of each credential.

- c. If the mariner holds either a license authorizing service only on vessels of 200 gross tons or less (domestic tonnage) OR a license as a designated duty engineer with a horsepower limitation, a special STCW validation valid for domestic voyages only may be typed directly on the license. A separate STCW form will not be required for service on domestic voyages; however, for a foreign voyage, the separate STCW validation form is required. RECs will issue the STCW form to eligible mariners holding these limited licenses upon their request. The enclosures contain further information.

6. ACTION.

- a. Maritime labor organizations, shipping companies and professional organizations of mariners are requested to publicize this information.
- b. For vessels on voyages seaward of the boundary line:
 - (1) Masters of inspected vessels (1) of more than 100 gross tons inspected as passenger vessels, (2) of more than 200 gross tons inspected as other than passenger vessels, and (3) of any tonnage on international voyages should insure that all eligible personnel who are required by the manning section of the Certificate of Inspection have the STCW form. This should prevent the vessel from being detained by a port-state by reason of improperly documented personnel;
 - (2) Masters or operators of uninspected vessels on international voyages or vessels of over 200 gross tons should insure each crew member employed in a watchkeeping position required by the manning regulations possesses the STCW form.
 - (3) Masters of inspected vessels not included in paragraph 6.b.(1) and operators of uninspected vessels not included in paragraph 6.b.(2) should ensure that each watchstanding officer has either the appropriate STCW form or STCW endorsement on his/her license.

Encl: (1) Transition from STCW-78 to STCW-95
(2) Information for STCW-78 forms
(3) Information for STCW-95 forms
(4) List of REC's and Privacy Act Statement

Non-Standard Distribution:

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INFORMATION FOR TRANSITION FROM STCW-78 FORMS TO STCW-95 FORMS

<u>On 1 Feb 97</u>	<u>....If you.....</u>	<u>.....And if you.....</u>	<u>....Then</u>
	Hold a license or MMD	Renew before February 1, 2002	See Section I
	Hold a license or MMD	Upgrade or increase the scope before February 1, 2002	See Section II
	Do not hold a license or MMD	Apply for one before August 1, 1998	See Section III
	Do not hold a license or MMD	Apply for one on or after August 1, 1998	See Section IV

I. RENEWAL INFORMATION FOR MARINERS HOLDING A LICENSE OR MERCHANT MARINERS'S DOCUMENT ON FEBRUARY 1, 1997

1. *Do I have to meet the requirements of STCW-95?*

You may renew your license or MMD without meeting the STCW-95 requirements. Your license or MMD will be reissued for a five-year period, but your STCW form will expire on January 31, 2002. If you continue to sail on vessels subject to the STCW after that date, you must meet the STCW-95 requirements.

2. *What must I do to meet the STCW-95 requirements?*

You must have evidence of maintaining competence in basic safety training and meet the physical standards. In addition, deck officers **MUST** be assessed in bridge resource management, and **MAY** require training in GMDSS and ARPA operations. Third and second mates, mates with licenses limited to vessels of not more than 1,600 gross tons, third and second assistant engineers, assistant engineers (limited), designated duty engineers, able seamen, and lifeboatmen must be assessed as maintaining competence in the operation of survival craft.

3. What is included in basic safety training and familiarization?

Basic safety training and familiarization includes training in four general categories. The first category is personal survival techniques which relates to improving a mariner's chances of survival in the event of abandonment of the vessel. The second category is fire prevention and fire fighting. This training allows a mariner to minimize the risk of fire and be ready to fight a fire at sea. The third category is training in first aid. This training prepares the mariner to take immediate action upon encountering a medical emergency. The fourth category of training is personal safety and social responsibilities. This training prepares the mariner to comply with emergency procedures, take precautions to prevent pollution, to observe safe working practices, to communicate effectively, and to contribute to effective human relationships on board.

4. How do I prove that I completed basic safety training and familiarization?

Until August 1, 1998, you may be certified by a letter signed by an appropriate company official (port captain, port engineer, master, chief engineer, operations manager, personnel manager, etc.) that you are competent in the tasks, duties, and responsibilities listed in the STCW-95 (column 1 of tables A-VI/1-1, A-VI/1-2, A-VI/1-3, and A-VI/1-4 of the STCW Code). It must indicate the date(s) you achieved the competency, and it will be valid for five years from the date it is issued. If you must be certified as competent on or after August 1, 1998, you may either complete a formal training course that is approved or accepted by the Coast Guard, or you may provide evidence that you have been assessed by a qualified assessor as having maintained competence in these areas.

5. What is Bridge Resource Management? How do I prove competency?

Bridge resource management refers to effective teamwork of the personnel on the vessel's bridge engaged in directing and controlling the vessel's movements. You may prove competency by completing a Coast Guard approved or accepted course in this subject or providing a letter signed by a qualified assessor that attests to your skills. The letter should state that you have in-service experience that indicates your proficiency in the conduct, hand-over, and relief of a watch conformed to accepted principles and procedures (STCW AII/1 and AII/2). It should indicate the date(s) you achieved the competency.

6. I'm a deck officer, tell me about ARPA and GMDSS qualifications.

You must have formal training and assessment if you serve on a vessel of more than 200 gross tons equipped with either of these systems. If you do not complete this training, your STCW form will be annotated to prohibit service on vessels equipped with these systems. For GMDSS qualification, you must also have the appropriate license issued by the Federal Communications Commission.

II. INFORMATION FOR MARINERS HOLDING MARINER'S CREDENTIALS (LICENSE OR MERCHANT MARINER'S DOCUMENT) ON FEBRUARY 1, 1997 AND WHO UPGRADE THE LICENSE OR MMD.

1. *I plan to upgrade my credentials before August 1, 1998. Am I required to meet the standards of STCW-78 or STCW-95?*

You may continue to meet the STCW-78 requirements for the license or MMD. Since your new credential will expire after February 1, 2002, the accompanying STCW-78 form will expire on January 31, 2002. If you wish to continue sailing on a sea-going vessel after that date, you must meet STCW-95. This is similar to the provisions listed in Section I for renewing a credential.

2. *What if I upgrade my credential after August 1, 1998?*

You will be required to meet the requirements of STCW-95 if the requirements for the upgrade began AFTER August 1, 1998. For example, if you are applying for an upgrade from mate to master and all of the required sea service was acquired after August 1, 1998, you must meet the requirements of STCW-95. The STCW-95 requirements include completion of on-board training, assessment of your professional skills by qualified assessors, and maintenance of training-and-assessment records. In this scenario, you would be issued an STCW-95 form with an expiration date coinciding with your license or MMD.

If you began the requirements for your upgrade BEFORE August 1, 1998, you are required only to meet the requirements of STCW-78 and the existing regulations. You will be issued an STCW-78 validation form that will expire on January 31, 2002 even though your license or MMD will be valid beyond that date. See section I for details about issuance of an STCW-95 validation form.

III. INFORMATION FOR MARINERS WHO DO NOT HOLD A MARINER'S CREDENTIAL ON JANUARY 31, 1997, AND WHO APPLY FOR A CREDENTIAL BEFORE AUGUST 1, 1998.

1. *If I start a maritime career after January 31, 1997 and apply for my first license or MMD before August 1, 1998, what special requirements are required of me.*

You must have the basic safety training required by Section A-VI/1 of the STCW; however, you are required to meet only the existing standards for issuance of the credential and will be issued an STCW form based on the 1978 convention. You must then meet the requirements of Section I (Question 1) for service after February 1, 2002.

IV. REQUIREMENTS FOR MARINERS WHO APPLY FOR AN ORIGINAL CREDENTIAL ON OR AFTER AUGUST 1, 1998.

1. *If I apply for my first license or MMD between August 1, 1998, and January 31, 2002, what requirements apply to my situation?*

If you began your sea service that is credited towards your license or MMD before August 1, 1998, you must meet the same requirements as set forth in section III. If you began your sea service on or after August 1, 1998, you must meet the requirements of STCW-95.

2. *What requirements must I meet if I apply on or after February 1, 2002?*

You must meet the requirements of STCW-95 no matter when you began your sea service.

V. ADDITIONAL REQUIREMENTS FOR MARINERS SERVING ON RO-RO PASSENGER VESSELS COMMENCING 1 FEBRUARY 1997.

1. *Are there special requirements for personnel serving on RO-RO passenger vessels?*

The master, officers, and certain ratings on a RO-RO passenger vessel must meet the requirements of STCW section A-V/2. This regulation requires special training in assisting passengers, crowd control, passenger safety and other similar training directed towards the safety of the passengers and the vessel.

2. *How will this training be documented?*

You must carry proof of having completed this training. It will not be endorsed on either the license, MMD, or STCW form. The proof consists of a course completion certificate from a course approved or accepted by the Coast Guard. An alternative is a letter signed by a qualified assessor, similar to that described in section I, attesting that your qualifications, training, and experience meet the STCW standards.

VI. REQUIREMENTS FOR PERSONS DESIGNATED TO PROVIDE MEDICAL CARE ABOARD SHIP

1. *How do I become qualified as a person to provide medical care or as a person designated to take charge of medical care aboard ship?*

Medical care personnel must complete a Coast Guard approved or accepted course which will include an assessment of the mariner's skills in these two fields. Present the course-completion certificate to a Coast Guard Regional Examination Center and an endorsement will be entered on either your license or MMD. It will also be endorsed on your STCW form.

2. *When does this requirement become effective?*

Medical care personnel must have the appropriate documentation beginning on July 31, 1998.

3. *Does a person holding a Certificate of Registry as either a medical doctor or professional nurse have to be trained in basic medical care?*

No. The proof of competency to provide medical care is the document issued by their home state that authorizes them to practice medicine.

VII. BASIC SAFETY, SURVIVAL, FIREFIGHTING, FIRST AID AND SOCIAL RESPONSIBILITY TRAINING

1. *When am I required to have this training?*

The international requirement for this training became effective January 31, 1997. You must have completed this training or have been assessed as being competent in the skill areas covered by the training. The training or assessment must have been completed within the five years preceding the issuance of an STCW-95 form. See section I, questions three and four for additional information. Also, you must provide evidence to any employer that you meet the requirements of the following tables from the STCW Code:

A-VI/1-1

A-VI/1-2

A-VI/1-3

A-VI/1-4

VIII. CHANGES IN TONNAGE LIMITATIONS

1. *STCW-95 changed the tonnage limitations from 200 to 500 gross tons and from 1,600 to 3,000 gross tons. How does this affect my license.*

STCW-95 permitted the parties to change the tonnage limitations to recognize the generally higher tonnages of vessels admeasured under the international tonnage scheme. The Coast Guard will develop a comprehensive regulatory project that will review all tonnage parameters. The goal is to have an integrated tonnage scheme covering all aspects of the maritime field. It will include alternative tonnages for licensing, manning, inspections and other laws and regulations applied to vessels. Mariners holding licenses limited to 200 gross register tons are automatically eligible for a license limited to 500 gross tons (international scheme). Mariners holding licenses limited to 1,600 gross register tons must qualify for an STCW-95 endorsement before they are eligible for a 3,000 gross ton license. The tonnage will be entered on the license in both the international and the domestic tonnage. For example, a license could read "Master of steam and motor vessels of not more than 500 gross tons (200 gross register tons) upon near-coastal waters.

TIMELINE FOR IMPLEMENTING STCW-95

The transition period for phasing in STCW-95 begins. All mariners must either have completed training in personnel safety, first aid, firefighting, and social responsibilities after this date or have been assessed as meeting the knowledge requirements. Certain personnel on RO-RO passenger vessels must have specialized training.

1 February 1997

Mariners who begin their sea career before this date may continue to meet STCW-78 until 1 February 2002. Mariners beginning their sea-going career on or after this date must meet the requirements of STCW-95.

1 August 1998

All mariners on sea-going vessels must comply with STCW-95. All STCW-78 forms expire. QMEDs forming part of an engineering watch are required to hold an STCW-95 form.

1 February 2002

**INFORMATION ABOUT ISSUANCE OF
INTERNATIONAL VALIDATION FORMS
REQUIRED BY STCW-78**

I. GENERAL INFORMATION FOR ANY STCW-78 FORM

This information applies to any STCW-78 form. Detailed information about the entries for each type of license or MMD are found under the section heading for the license or MMD.

1. After the words "Certificate Nos.," the serial number of the license or the social security number from an MMD will appear. If the mariner holds both, both numbers will appear.
2. The name must agree with the name used on the license or MMD.
3. The STCW-78 regulation's number under which a mariner is qualified is entered on the form. The regulation's number is listed in the sections that follow. If qualified under more than one regulation, all numbers will appear.
4. The STCW-78 form is valid only when accompanying a valid license or MMD. Where dates are entered, the day-month-year format will be used.
5. A general limitation is entered in the top part of the CAPACITY-LIMITATIONS section. An example of a general limitation is a requirement to wear corrective lens.
6. If a mariner holds a license and an MMD, all separate and distinct qualifications and limitations will be listed on the same form. Only STCW qualifications will be shown. Qualifications outside the scope of the STCW (e.g., inland, Great Lakes routes) are not listed.
7. If the mariner's license or MMD will expire after January 31, 2002, an expiration date must be added. After the last entry in the CAPACITY-LIMITATIONS section, the entry "THIS CERTIFICATE EXPIRES 31 JANUARY 2002" will be typed in upper-case letters. Unused space of the CAPACITY-LIMITATIONS section will be lined out.
8. If the mariner's capacities or limitations fill the front of the form, they may be continued on the reverse. The REC will type "Continued on reverse" to fill the space, then type QUALIFICATIONS - LIMITATIONS on the reverse. Entries will continue in the same manner as used for the front of the document. After the last entry, a line will be drawn, and a signature line and date line added.
9. A new form will be issued to a mariner who upgrades a license, increases the scope of a license, or adds an endorsement to either a license or an MMD that changes the mariner's qualifications under the STCW. New qualifications will not be added to an existing form. Old forms will be voided and may be returned to the individual.

10. A photo is not required but may be affixed to the lower center of the form if the mariner provides the photos. The photo should be passport type, and may be either black-and-white or color.

11. The form will be sealed with a raised seal that overlays part of the signature of the authorized official. If a photo is attached, the seal must be partially embossed on the photo to tie it to the form. If there are entries on the reverse, both sides must be sealed.

II. STCW FORM FOR DECK OFFICERS

1. Officers licensed for service on vessels of 200 or less gross tons will have their license endorsed "For domestic voyages only, the holder of this license meets the STCW 1978 regulations without further endorsement." If a deck officer with a license limited to service on vessels of 200 or less gross tons requests an STCW form, it will be issued in accordance with the guidance of this section. The STCW regulations that apply to deck officers are:

a. Masters and chief mates licensed for service in ships of 200 gross tons or more are qualified under regulation II/2.

b. Masters and mates licensed for service on ships of less than 200 gross tons are qualified under regulation II/3.

c. Mates (except chief mates) licensed for service on ships of 200 gross tons or more are qualified under regulation II/4.

d. Masters and mates are qualified to serve on tankers under regulation V.

2. Under CAPACITY, enter the title(s) used in the STCW. These are master, chief mate, or officer in charge of a navigational watch. For the last entry, the license level (second mate, third mate, or mate), will be indicated in parentheses.

3. In the LIMITATIONS section opposite each title, specific limitations will be entered based on the license. A mariner may have several levels of license and different limitations may apply. Some standard limitations are:

a. ROUTE: No route entry is needed for an ocean license. The entry "Valid for near coastal voyages only" will be entered if appropriate.

b. TONNAGE: The tonnage limitation from the license will be listed by "Limited to vessels of not more than _____ gross tons."

c. TANKERMAN - PIC: If a master, chief mate, or a mate is qualified as a tankerman-PIC, one of the following will be entered:

(1) "Valid for service on tankships carrying dangerous liquid oil or chemical cargoes";

(2) "Valid for service on tankships carrying liquefied gas cargoes"; or

(3) "Valid for service on tankships carrying dangerous liquid oil or chemical cargoes, or liquefied gas cargoes."

d. **RADAR** If the mariner is qualified as a radar observer, and the expiration date of the radar observer qualification occurs before the expiration date of the license, the limitation is "Not valid for service on radar-equipped vessels of 300 or more gross tons or radar-equipped towing vessels of more than 8 meters in length (approximately 26 feet) after (date)."

e. **OTHER** If the license has other limitations, such as service on specific types of vessels, such limitation(s) shall also be included.

SECTION III. STCW FORM FOR ENGINEER OFFICERS

1. An engineer officer licensed as a designated duty engineer (DDE) with a horsepower limitation will have the license endorsed "For domestic voyages only, the holder of this license meets the STCW 1978 regulations without further endorsement." If a DDE with a horsepower limitation requests an STCW form, it will be issued in accordance with the guidance of this section. The following regulations apply to other engineer officers:

a. Chief engineers and second engineer officers (first assistant engineers [1AE]) licensed for main propulsion machinery of 4,000 HP (3,000 kW) or more are qualified under regulation III/2.

b. Chief engineers and second engineer officers (1AE) with licenses limited to propulsion machinery between 1000 HP (750kW) and 4,000 HP (3000 kW) are qualified under III/3.

c. Engineers in charge of a watch or designated duty engineers (second and third assistant engineers, assistant engineers [limited] and DDE are qualified under regulation III/4.

d. Engineer officers are qualified to serve on tankers under regulation V.

2. The STCW uses the term "second engineer officer" as equivalent to the United States' first assistant engineer. The equivalent to other United States' assistant engineers is "engineer in charge of a watch or designated duty engineer officer."

3. Under **CAPACITY**, the STCW title(s) "chief engineer," "second engineer officer (first assistant engineer)," or "engineer in charge of a watch or designated duty engineer" are entered. For the latter entry, the license level(s) indicated on the Coast Guard issued license (e.g., second assistant engineer, third assistant engineer, or assistant engineer) will be entered in parenthesis. The title "designated duty engineer" is used when the mariner holds a U.S. license as DDE.

4. In the **LIMITATIONS APPLYING (IF ANY)** section opposite each title, enter specific limitations based on the license. A mariner may have several levels of license with each level having different limitations. Some standard limitations are:

a. ROUTE: "Valid for near coastal voyages only" will be entered for a chief engineer (limited-near coastal) or DDE with limited horsepower.

b. TONNAGE: A tonnage limitation is indicated by "Limited to vessels of not more than _____ gross tons". The tonnage limitation for limited engineers is 1600 gross tons. The tonnage limitation for a DDE is 500 gross tons.

c. TYPE OF PROPULSION:

(1) No entry is made for a steam and motor license.

(2) If the propulsion mode is motor only, "Not valid in ships in which steam boilers form part of main propulsion system" will appear in the LIMITATIONS column.

(3) If the propulsion mode is steam only, "Valid only in ships in which steam boilers form part of the propulsion system" will appear.

d. HORSEPOWER: "Valid in ships of not more than _____ horsepower (_____ kW)" will be used to indicate a horsepower limitation. One horsepower is equal to 3/4 of a kilowatt for licensing purposes.

e. TANKERMAN - ENGINEER: If a chief engineer, second engineer officer (1AE), or other engineer officer is qualified as a tankerman-engineer, one of the following will be entered:

(1) "Valid for service on tankships carrying dangerous liquid oil or chemical cargoes";

(2) "Valid for service on tankships carrying liquefied gas cargoes"; or

(3) "Valid for service on tankships carrying dangerous liquid oil or chemical cargoes or liquefied gas cargoes."

f. OTHER: Any other limitation will be indicated.

IV. STCW FORM FOR OPERATORS OF UNINSPECTED TOWING VESSELS (OUTV)

1. This license is not valid for an international voyage. An OUTV will have the following endorsement added to the license "For domestic voyages only, the holder of this license meets the STCW 1978 regulations without further endorsement."

V. STCW FORM FOR RATINGS FORMING PART OF A NAVIGATIONAL WATCH

1. Deck ratings forming part of a navigational watch are qualified under regulation II/6. This includes able seamen and specially trained ordinary seamen. To qualify for this endorsement, the specially trained ordinary seaman must:

a. Have at least one year of deck service within the past five years and must have begun his/her maritime career before October 1, 1991; or

b. Provide evidence of meeting the training and experience requirements of STCW-78 regulation II/6 satisfactory to the Officer in Charge of Marine Inspection.

2. Under CAPACITY, enter "Rating forming part of a navigational watch."

3. In the LIMITATIONS APPLYING (IF ANY), any limitations noted on the MMD are listed. If the MMD is limited to certain vessels, that limitation shall be shown as "Limited to service on _____ (sail training vessels) (fishing industry vessels) (offshore supply vessels) (mobile offshore units)."

VI. STCW FORM FOR A CERTIFICATE OF PROFICIENCY IN SURVIVAL CRAFT

1. A mariner qualifies for this endorsement under regulation VI.

2. A mariner holding an MMD endorsed as able seaman-any waters, able seaman-limited, able seaman-special, any unlicensed rating in the deck department including able seaman, or lifeboatman is eligible for this STCW certification. The able seaman-special (OSV) is not eligible for this certification unless also qualified as a lifeboatman.

3. In the CAPACITY section of the form, enter "Proficient in the use of survival craft."

4. If the lifeboatman's qualification is limited to inflatable survival craft, the limitation should read "Limited to inflatable survival craft only."

VII. STCW FORM FOR TANKERMAN-ASSISTANT

1. A tankerman-assistant is qualified under regulation V.

2. The tankerman qualifications for deck and engineering officers will appear on the STCW form that validates their license. This section applies only to mariners with the tankerman-assistant-DL and or -LG endorsement on their MMD.

2. In the "CAPACITY" section of the form, the entry will be "Tankerman-assistant."

3. In the "LIMITATIONS" section of the form, the entry will be:

a. "Valid for service on tankships carrying dangerous liquid oil or chemical cargoes";

b. "Valid for service on tankships carrying liquefied gas cargoes"; or

c. "Valid for service on tankships carrying dangerous liquid oil or chemical cargoes, or liquefied gas cargoes."

VIII. SAMPLE STCW FORMS ISSUED UNDER STCW-78

1. The following sample STCW-78 forms illustrate the issuance of the international validation in accordance with the above guidelines.

a. Illustration one is a form issued to an engineer officer licensed as assistant engineer (limited-near coastal) for service on motor vessels on not more than 5,000 horsepower with an endorsement as DDE. The mariner has received a waiver of the medical standards for hearing acuity and must have a hearing aid and spare batteries while serving under the authority of his license.

b. Illustration two is a form issued to an able seaman- special (OSV) who is qualified as a lifeboatman limited to inflatable rafts.

c. Illustration three is a form issued to a deck officer licensed as a second mate-near coastal who is qualified as a tankerman-PIC-DL cargoes. The mariner has received a waiver of the vision requirements and must wear glasses as well as having a spare pair on board while serving under authority of the license.

d. Illustration four is a form issued to an engineer officer licensed as chief engineer (limited-near coastal) on steam or motor vessels of any horsepower, as first assistant for service on steam vessels of not more than 6,000 horsepower, and as third assistant for service on steam or motor vessels of any horsepower. This engineer is also qualified as a tankerman-engineer-DL.

e. Illustrations five and six show typical forms issued to mariners whose license expires after 31 January 2002. Neither mariner meets the STCW-95 requirements for renewal; therefore, the STCW-78 form expires on 31 January 2002. When the mariner meets the STCW-95 requirements, an STCW-95 form will be issued with the same expiration date as the license.

INFORMATION ABOUT ISSUANCE OF
INTERNATIONAL VALIDATION FORMS
REQUIRED BY STCW-95

I. GENERAL INFORMATION FOR ANY STCW-95 FORM

This information applies to the entries on any STCW-95 form. Detailed information for each type of license or MMD will be found under the specific section for the license or MMD.

1. After the words "Certificate Nos.", either the serial number of the license or the social security number for an MMD will appear. If the mariner holds both, both numbers will appear.
2. The name must agree with the name used on the license or MMD.
3. The STCW regulation's number under which a mariner is qualified will appear on the form. If qualified under more than one regulation, all numbers will appear
4. The expiration date entered on the line after "...indicated until", is the expiration date of the license or MMD, whichever occurs first.
5. No entry is required in the FUNCTION-LEVEL-LIMITATION section.
6. A general limitation will be entered in the top part of the CAPACITY-LIMITATION section. An example of a general limitation is a requirement to wear corrective lens while on duty.
7. If a mariner holds a license and an MMD, all separate and distinct qualifications and limitations will be listed on the same form. Only STCW qualifications will be shown. Qualifications outside the scope of the STCW (e.g., inland, Great Lakes routes) are not listed.
8. Unused space of the CAPACITY-LIMITATIONS section will be lined out.
9. If the mariner's capacities or limitations fill the front of the form, they may be continued on the reverse. The REC will type "Continued on reverse" to fill the space, then type CAPACITY - LIMITATIONS on the reverse. Entries will continue in the same manner as used for the front of the document. After the last entry, a line will be drawn, and a signature line and date line added.
10. After "Endorsement No.", the license number and/or the social security number will be entered. This entry must agree with the entry made in accordance with paragraph one above. The date and port of issuance of the STCW form is then entered to complete the line.
11. A new form will be issued to a mariner who upgrades a license, increases the scope of a license, or adds an endorsement to either a license or an MMD that changes the mariner's qualifications under the STCW. New qualifications are not added to an existing form. Old forms are voided and may be returned to the individual.
12. A photo must be affixed to the lower center of the form. The photo should be passport type, and may be either black-and-white or color. 13. The form will be sealed with a raised seal that overlays part of the signature of the authorized official. The seal must be partially embossed on

the photo to tie it to the form. If there are entries on the reverse, both sides must be sealed.

13. The form will be sealed with a raised seal that overlays part of the signature of the authorized official and also the photo to tie it to the form. If there are entries on the reverse, both sides will be sealed.

14. If requested, an entry may be made in the CAPACITY-LIMITATIONS section indicating that the mariner has completed the necessary training required by the STCW Code Tables, A-VI/1. The entry "Basic safety training and instruction completed on _____" will be entered.

II. STCW FORM FOR DECK OFFICERS

1. Deck officers licensed for service on vessels of 500 or less gross tons will have their license endorsed "For domestic voyages only, the holder of this license meets the STCW 1995 regulations without further endorsement." If a deck officer with such a license requests an STCW form, these instructions apply. The STCW regulations that apply to deck officers are:

a. Masters and chief mates licensed for service in ships of 500 gross tons or more are qualified under regulation II/2.

b. Masters and mates licensed for service on ships of less than 500 gross tons are qualified under regulation II/3.

c. Mates (except chief mates) licensed for service on ships of 500 gross tons or more are qualified under regulation II/1.

d. Masters and mates are qualified to serve on tankers under regulation V/1.

2. Under CAPACITY, the title(s) used on the license, e.g., master, chief mate, second mate, third mate, or mate, will be entered.

3. In the LIMITATIONS APPLYING (IF ANY) section opposite each title, specific limitations based on the license are entered. A mariner may have several levels of license and different limitations may apply. Some standard limitations are:

a. ROUTE: No route entry is needed for an ocean license; otherwise, "Valid for near coastal voyages only" is entered.

b. TONNAGE: The tonnage limitation is shown by "Limited to vessels of not more than _____ gross tons."

c. TANKERMAN - PIC: If a deck officer is qualified as a tankerman-PIC, one of the following will be entered:

(1) "Valid for service on tankships carrying dangerous liquid oil or chemical cargoes";

(2) "Valid for service on tankships carrying liquefied gas cargoes"; or

(3) "Valid for service on tankships carrying dangerous liquid oil or chemical cargoes, or liquefied gas cargoes."

d. ARPA QUALIFICATION: Deck officers who have not completed a Coast Guard approved or accepted ARPA course will have the STCW form endorsed "Not valid for service on ARPA equipped vessels."

e. RADAR: If the mariner is qualified as a radar observer, and the expiration date of the radar observer qualification occurs before the expiration date of the license, the limitation is "Not valid for service on radar-equipped vessels of 300 or more gross tons or radar-equipped towing vessels of more than 8 meters in length (approximately 26 feet) after (date)"

f. RADIO: If the mariner is qualified as a radio operator under the global maritime distress safety system (GMDSS), the entry will be "Valid for service on vessels operating in the GMDSS system."

g. OTHER If the license has other limitations, such as service on specific types of vessels, such limitation(s) shall also be included.

III. STCW FORM FOR ENGINEER OFFICERS

1. The license of a designated duty engineer (DDE) of limited horsepower will be endorsed "For domestic voyages only, the holder of this license meets the STCW 1995 regulations without further endorsement." If requested, an STCW form will be issued in accordance with the guidance of this section. The following regulations apply to other engineer officers:

a. Chief engineers and first assistant engineers licensed for main propulsion machinery of 4,000 HP (3,000 kW) or more are qualified under regulation III/2.

b. Chief engineers and first assistant engineers with licenses limited to main propulsion machinery between 1000 HP (750kW) and 4,000 HP (3000 kW) are qualified under III/3.

c. Second assistant engineers, third assistant engineers, assistant engineers [limited] and DDE are qualified under regulation III/1.

d. Engineer officers are qualified to serve on tankers under regulation V/1.

3. Under CAPACITY, the title(s) used on the license, e.g., chief engineer, first assistant engineer, second assistant engineer, etc., will be entered.

4. In the LIMITATIONS APPLYING (IF ANY) section opposite each title, specific limitations based on the license will be entered. A mariner may have several levels of license, with each level having different limitations. Some standard limitations are:

a. ROUTE: "Valid for near coastal voyages only" will be entered for a chief engineer (limited-near coastal) or DDE with limited horsepower.

b. TONNAGE: A tonnage limitation is indicated by "Limited to vessels of not more than _____ gross tons". The tonnage limitation for limited engineers is 1600 gross tons. The tonnage limitation for a DDE is 500 gross tons.

c. TYPE OF PROPULSION:

(1) No entry is made for a steam and motor license.

(2) If the propulsion mode is motor only, "Not valid in ships in which steam boilers form part of main propulsion system" will appear in the LIMITATIONS column.

(3) If the propulsion mode is steam only, "Valid only in ships in which steam boilers form part of the propulsion system" will appear.

d. HORSEPOWER: "Valid in ships of not more than _____ horsepower (_____ kW)" will be used to indicate a horsepower limitation. One horsepower is equal to 3/4 of a kilowatt for licensing purposes.

e. TANKERMAN: If a chief engineer, first assistant engineer, or other engineer officer is qualified as either a tankerman-engineer or tankerman-PIC, one of the following will be entered:

(1) "Valid for service on tankships dangerous liquid oil or chemical cargoes";

(2) "Valid for service on tankships carrying liquefied gas cargoes"; or

(3) "Valid for service on tankships carrying dangerous liquid oil or chemical cargoes or liquefied gas cargoes."

f. OTHER: Any other limitation will be indicated.

IV. STCW FORM FOR OPERATORS OF UNINSPECTED PASSENGER VESSELS (OUPV) AND OPERATORS OF UNINSPECTED TOWING VESSELS (OUTV)

1. Neither license is valid for an international voyage. A mariner holding either of these licenses will have the following endorsement added to the license form "For domestic voyages only, the holder of this license meets the STCW 1995 regulations without further endorsement."

V. STCW FORM FOR RATINGS FORMING PART OF A NAVIGATIONAL WATCH

1. Deck ratings forming part of a navigational watch on a vessel 500 or more gross tons are qualified under regulation II/4. This includes able seamen and specially trained ordinary seamen. To qualify for this endorsement, the specially trained ordinary seaman must:

- a. Have at least one year of deck service within the past five years and must have begun his/her maritime career before October 1, 1991; or
 - b. Provide evidence of meeting the training and experience requirements of STCW-95 regulation II/4 satisfactory to the Officer in Charge of Marine Inspection.
2. Under CAPACITY, enter "Able seaman-any waters," "Able seaman-limited," "Able seaman-special," or "Specially trained ordinary seaman." For able seaman with vessel limitations, enter "Able seaman" followed by the limitation as discussed in paragraph 3.
 3. In the LIMITATIONS section, any limitations noted on the MMD are listed. If the MMD is limited to certain vessels, that limitation shall be shown as "Limited to service on _____ (sail training vessels) (fishing industry vessels) (offshore supply vessels) (mobile offshore units)."

VI. STCW FORM FOR A CERTIFICATE OF PROFICIENCY IN SURVIVAL CRAFT

1. A mariner qualifies for this endorsement under regulation VI/2.
2. A mariner holding an MMD endorsed as able seaman-any waters, able seaman-limited, able seaman-special, any unlicensed rating in the deck department including able seaman, or lifeboatman is eligible for this STCW certification. The able seaman-special (OSV) is not eligible for this certification unless also qualified as a lifeboatman.
3. In the CAPACITY section of the form, enter "Lifeboatman."
4. If the lifeboatman's qualification is limited to inflatable survival craft, the limitation should read "Limited to inflatable survival craft."
5. If the mariner is also qualified for fast survival craft, in the LIMITATIONS APPLYING section the endorsement "Valid for service in fast survival craft" will be added.

VII. STCW FORM FOR TANKERMAN-ASSISTANT

1. A tankerman-assistant is qualified under regulation V/1.
2. The tankerman qualifications for deck and engineering officers will appear on the STCW form that validates their license. This section applies only to mariners with the tankerman-assistant-DL and or -LG endorsement on their MMD.
2. In the "CAPACITY" section of the form, the entry will be "Tankerman-assistant."
3. In the "LIMITATIONS" section of the form, the entry will be:
 - a. "Valid for service on tankships carrying dangerous liquid oil or chemical cargoes";

- b. "Valid for service on tankships carrying liquefied gas cargoes"; or
- c. "Valid for service on tankships carrying dangerous liquid oil or chemical cargoes, or liquefied gas cargoes."

**VIII. STCW FORM FOR RATINGS FORMING PART OF A WATCH
IN A MANNED ENGINE ROOM OR DESIGNATED TO PERFORM DUTIES IN A
PERIODICALLY UNMANNED ENGINE ROOM.**

1. Qualified members of the engine department (QMED) forming part of an engineering watch on a vessel with 750 kW (1,000 horsepower) are qualified under regulation III/4.
2. The following QMED ratings are eligible for the STCW endorsement: QMED-any rating, oiler, fireman/watertender, junior engineer, deck engine mechanic, or engineman. The QMED rating(s) will be entered in the CAPACITY section of the form.
3. A QMED is not required to have the STCW form until February 1, 2002. QMEDs renewing their MMD before that date will be issued the STCW-95 form if they have proof of basic safety training and proof that they meet medical standards.

IX. STCW FORM FOR RADIOCOMMUNICATION AND RADIO PERSONNEL

1. Persons performing radio duties on ships operating within the global maritime distress and safety system (GMDSS) must have a course completion certificate from a Coast Guard approved or accepted GMDSS course (or training and assessment program) and an GMDSS license issued by the Federal Communications Commission. This qualification will be endorsed on an STCW form. They are qualified under regulation IV/2.
2. This qualification may be added to the form issued to a deck officer, or it may stand alone if the mariner is not required to hold an STCW form by another regulation.
3. If the mariner does not hold an STCW form under another regulation, the entry in the CAPACITY section will be "Radio operator." In the LIMITATION APPLYING section, the entry will be "Valid for service on vessels operating in the GMDSS system."
4. Personnel qualified as an at-sea maintainer of GMDSS systems may be issued an STCW-95 form endorsed as "Radio maintainer." In the LIMITATION APPLYING section, the entry will be "Valid for service on a vessel operating in the GMDSS system."

XI. SAMPLE STCW FORMS ISSUED UNDER STCW-95

1. The following sample STCW-95 forms illustrate the issuance of the international validation in accordance with the above guidelines.

- a. Illustration one is a form issued to a chief mate of unlimited tonnage who is qualified as a tankerman-PIC. He is also qualified to serve on vessels operating within the GMDSS system.
- b. Illustration two is a form issued to a QMED with a watchstanding rating as junior engineer. The mariner completed basic safety training and familiarization and elected the option to have it noted on the STCW form.
- c. Illustration three is a form issued to a radio officer who is qualified to serve on a vessel operating within the GMDSS system. An STCW form is not required unless the vessel participates within GMDSS. The mariner completed basic safety training and familiarization and elected the option to have it noted on the STCW form.
- d. Illustration four is a form issued to an Able seaman who is qualified as a tankerman-assistant. This endorsement under STCW-78 would read "Rating forming part of a navigational watch."

PRIVACY ACT STATEMENT

Mariners who request by mail that the STCW form be issued must provide information to enable the REC to process their request. Specifically, the information is requested under the STCW and either 46 USC 7101 or 7302. It will be used to:

1. Ensure the mariner's license or MMD complies with the STCW;
2. Locate the mariner's records;
3. Verify that the mariner is credited on the STCW form with all qualifications to which the mariner is entitled; and
4. Ensure that the entries on the STCW form issued to the mariner are recorded in the mariner's records.

Providing this information is voluntary, but failure to do so would delay or prevent the issuance of an STCW endorsement.